

# PLANNING GRANT APPLICATION PACKAGE

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## OVERVIEW OF THE PLANNING GRANT PROGRAM

The Planning Grant program is funded with Federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). The goal of the program is to encourage communities to plan for long-term community development. Communities interested in planning for projects relating to such issues as infrastructure, downtown revitalization, and community facilities are encouraged to apply. To be competitive, projects must demonstrate (1) they meet a goal of the Federal Act; (2) the particular planning initiative addresses established long-term community priorities; (3) the funds granted will have a significant impact on the overall project; (4) the community has a strong commitment to the project; and (5) the project is ready to proceed upon grant award and will be completed within 15 months. Further instructions are provided on the following pages.

### MINIMUM PROGRAM REQUIREMENTS

To be eligible for Planning Grant assistance, projects must meet certain minimum program requirements. Those requirements are as follows:

- The lead applicant must be a city, incorporated town, or county. The community must not be a HUD Entitlement grant recipient (receiving CDBG dollars directly from HUD), and must possess the legal capacity to carry out the proposed project.
- The lead applicant may apply on behalf of a 501c3 not-for-profit organization for an eligible project, provided that the organization can document its not-for-profit status with the U.S. Internal Revenue Service, the Indiana Department of Revenue, and the Indiana Secretary of State.
- All planning projects must meet one of the following goals of the Federal Act: 1) to benefit at least 51% low-to-moderate-income individuals, or 2) to aid in the prevention or elimination of slums or blight.
- If the applicant has previously received Community Focus Funds (CFF), CFF Planning Grant Funds (CFFPG), Community Economic Development Funds (CEDF) or any CDBG Funds through the Indiana Housing and Community Development Authority (IHCDA) the applicant must NOT have:
  - ❖ any unresolved monitoring/audit findings;
  - ❖ any overdue grant reports or close-out documents;
  - ❖ for cities and towns, more than one (1) open CFF or Planning Grant at the time of application;
  - ❖ for counties, more than two (2) open CFFs and/or Planning Grants at the time of applications
  - ❖ an open CFF grant or Planning Grant that has not received Release of Funds;
    - If a community has an open CFF or Planning Grant, the community must have an executed construction contract and be under construction, or a consultant under contract for planning grants before the community map apply for an additional CDBG Grant.
- Any CDBG Program Income accumulated from a previous CDBG grant must be committed for use that has been approved by the Indiana Office of Community and Rural Affairs before another CDBG grant will be approved. Any available Program Income may be used as part of the local match for a CDBG project. Please contact Community Affairs at (317) 232-1703 for additional information regarding Program Income.
- The cost per beneficiary ratio of the proposed project may not exceed \$5,000 (grant funds only).
- Ten percent of the total project cost must consist of cash or debt provided by the applicant. In-kind contributions do not count toward the 10% local match requirement.

- **Procurement of professional services for the planning study must be completed prior to submitting a planning grant application.** The applicant must use the Qualification Based Selection (QBS) or Request for Proposal (RFP) process as laid out in the Procurement Overview included in this document. All documentation of the process must be attached to the application. (Please see Appendix Two of this packet for required forms and attach the required documentation as Appendix Eight of your application).
- Grant Administrators used for CDBG projects must have participated in, or tested out of, the Grant Administrator Training Course administered by the Indiana Office of Community and Rural Affairs. A complete list of grant administrators who are current in this training is available on our Web site ([www.in.gov/ocra/](http://www.in.gov/ocra/)).
- **Three** sets of the application, one that contains original signatures and documents and two copies, must be received by the Indiana Office of Community and Rural Affairs by 5 p.m. on the due date, which is the last business day of each month.

### **ELIGIBLE PLANNING ACTIVITIES**

The following list identifies the general types of eligible activities for the planning grant program. The list is not all-inclusive. Applicants should contact their Community Development Specialist to determine if their project is eligible for funding. Eligible planning activities consist of all costs associated with data gathering, study, analysis, and preparation of plans and the identification of actions to implement such plans, including:

1. Individual project plans\* and feasibility studies;
2. Community development, redevelopment and functional plans in areas such as:
  - Infrastructure in support of housing;
  - Land use and urban environmental design;
  - Comprehensive Plans\*\*
  - Economic development;
  - Downtown revitalization plans;
  - Floodplain and wetlands management;
  - Utilities; and
  - Historic preservation.
3. Environmental review and environmental assessments\*\*\*;
4. Site specific/site control activities excluding land acquisition and purchase of options;

\*Planning dollars can be used for preliminary design activities only, and NOT for construction documents or bid specifications.

\*\* Priority will be given to those communities that have never prepared a Comprehensive Plan in the past. Updates will be considered for funding, but will not be the most competitive projects. By their very nature, Comprehensive Plans must be kept current in order to maximize their effectiveness; therefore, communities should make financial provisions to fund necessary future updates.

\*\*\*Environmental review and site control activities are strongly encouraged in the planning process. Planning grants are provided primarily to help develop potential Community Focus Fund (CFF) projects to proceed with a full CFF application or to develop a plan for another funding source. Pre-engineering studies and downtown redevelopment plans are examples of planning projects that help potential CFF projects become ready to move quickly into construction. Planning should include the environmental review necessary to apply for a CFF grant. If CDBG dollars are being used for the environmental review activity, a maximum of \$3000 will be allowed. **PLEASE NOTE:** if environmental review is included in the budget for a planning project, it cannot be included in the budget for a subsequent CFF application related to the planning project.

## MEETING A GOAL OF THE FEDERAL ACT

Title I of the Housing and Community Development Act of 1974, as amended, identifies three national objectives of the CDBG program. Planning projects must meet one of the following two national objectives and meet the requirements set out for that objective:

- Benefit low- and moderate-income persons
  - On an area basis
  - Of a limited clientele groupAt least 51% of the project's beneficiaries must be low- to moderate-income persons.
- Aid in the prevention or elimination of slums or blight on either an area or spot basis.

For each objective, the community will need to demonstrate that it meets the objective by providing documentation and answering the questions relevant to that objective.

### **Benefit to Low- and Moderate-Income Persons – Area Basis**

To show that a project benefits an area of low- to moderate-income people, the following questions must be clearly answered in the application on the National Objective Identification page:

1. What are the boundaries of the service area?
2. How do the boundaries correspond to the project's intended beneficiaries?
3. What percentage of persons in the service area is of low- to moderate-income?
4. How were the income characteristics of the target population determined?
5. Is the proposed facility available to all service area residents?

The low-moderate income population can be obtained either through Census Data or through an income survey. Income surveys are valid for two years from the date of the certification letter. The survey may be re-certified one time for an additional two years. The four-year period during which the income survey may be used is calculated from the date of the first certification letter. The project area must be certified as a single area; two separate previously certified income surveys will not be accepted.

The following documentation **MUST** be provided in the application:

1. Map(s) showing location and boundaries of service area.
2. If applicable, certification of income survey results by a qualified professional. The methodology of the income survey **MUST** also be included.

### **Benefit to Low- and Moderate-Income Persons – Limited Clientele Basis**

There are eight groups of people that are presumed to be low- to moderate-income people by federal regulations. Those groups are as follows: senior citizens (people who are 62 years of age or older), migrant farm workers, abused children, battered spouses, severely handicapped adults, homeless persons, illiterate adults and persons with AIDS. For limited clientele projects serving other persons, benefit to low- to moderate-income persons will have to be documented.

For a limited clientele project, these questions will need to be clearly answered in the application on the National Objective Identification page:

1. Who will use the proposed facility?
2. Will any other groups or the general public also use the facility? If so, to what extent?

3. If the facility is to be used on an income-eligible basis, how will the income and family size information of users be documented? If less than 100% of users are to be of low- to moderate-income, how was the percentage of low-to moderate-income users determined or estimated?

### **Prevention or Elimination of Slums or Blight – Area Basis**

The following questions must be answered in the application on the National Objective Identification page:

1. What are the boundaries of the area?
2. What are the conditions that cause the area to be considered blighted?
3. What percentage of the buildings in the area are deteriorated? How are they deteriorated?
4. What public facilities in the area are deteriorated? Describe this deterioration.
5. How will the proposed project remedy one or more of the blighted conditions described above?

The following documentation to the application must be attached with a slum and blight, area basis application:

1. Municipal resolution passed by governing body that describes boundaries of the specific blighted conditions within the area, and officially designates an area as blighted.
2. Map of area showing location of project activities.

### **Prevention or Elimination of Slums or Blight- Spot Basis**

The following issues must be addressed on the National Objective Identification page:

1. Show the specific blighted or deteriorating structure that will be affected by the proposed project.
2. Provide a detailed description of the conditions to be remedied by the proposed project, accompanied by a detailed statement of activities to address those conditions.

The following documentation to the application must be attached with a slum and blight, spot basis application:

1. Municipal resolution passed by governing body that describes the blighted or deteriorating structure, including a legal description, and officially designates the property as blighted under spot basis.

Spot basis to slum/blight projects are limited to five project activities: acquisition, relocation, clearance, historic preservation, and limited rehabilitation to correct specific conditions detrimental to public health and safety. **Please note a spot basis blight project must not be located within a designated blighted area.**

### **AMOUNT OF GRANT REQUEST & LOCAL MATCH**

The Indiana Office of Community and Rural Affairs (IOCRA) has established a maximum grant award of \$50,000 for most Planning Grant applications. For environmental infrastructure projects, the limits are as follows: \$30,000 for a study on a single utility, \$40,000 for a study on two utilities, and \$50,000 for a study on water, wastewater, and storm water utilities. **The maximum award is not intended to serve as a target figure for requests for grant assistance.** The IOCRA will review the level of grant assistance requested and will consider the appropriateness of the project's scope, level of demonstrated need, and the financial resources of the applicant. **If the IOCRA determines that a lesser amount is appropriate, it may be necessary to revise the application before it is considered for funding.**

In order to participate in the Planning Grant program, **communities must commit at least ten percent (10%) of the total project cost** in matching funds toward the grant. For example, an applicant applying to fund a project costing a total of \$35,000 must commit at least \$3500 or ten percent (10%) of this project cost. The grant request would then be for the amount of \$31,500.

## CONSULTANTS AND GRANT ADMINISTRATION

All consultants to be paid with CDBG dollars, such as engineers, architects, and grant administrators, must be procured using the Qualifications Based Selection (QBS) or Request for Proposal (RFP) process prior to the submittal of the application to IOCRA. Additional information regarding these processes may be obtained from [www.qbsindiana.org](http://www.qbsindiana.org), or from IOCRA.

All grant administrators involved in CDBG projects must have successfully completed, or successfully tested out of, the Grant Administrator Training Course. This certification must be current at the time of application. A list of such grant administrators can be provided upon request by calling 317-232-1703 or visiting our Web site [www.in.gov/ocra](http://www.in.gov/ocra).

A maximum of eight (8) percent of the grant amount requested, or \$4,000, whichever is less, of CDBG funds may be used for grant administration. Grant administration may also be paid with local dollars, as part of the required local match. In this case, QBS is not required.

**NOTE:** Private firms or non-governmental entities that perform project development and administration activities for CDBG-assisted projects (project development, environmental review, grant application preparation, procurement assistance, grant administration) will NOT be allowed to also perform architectural, engineering, planning, or other related services/activities for grantees or their non-profit sub-recipients. These restrictions apply while persons are employed with a firm or agency, and for a period of one (1) year following their employment with that firm or agency. Units of general local government and certain special governmental units, and their employees, will be permitted to administer CDBG grants and undertake certain other activities to the extent that they may be reimbursed ONLY for actual expenses incurred, plus an overhead rate approved by a federal grantor agency or prepared by an independent accounting firm and approved by the IOCRA. The one-year post employment restriction, and the IOCRA certification requirements, will also apply to employees of such governmental units.

## PUBLIC HEARINGS & CITIZEN PARTICIPATION

The Federal Act requires that at least two (2) public hearings be held on the proposed project. These two (2) public hearings must be held at different stages of project development. One public hearing must be held prior to the submission of the application and the second must be held after a draft of the planning study has been completed.

Indiana law prescribes the method by which the public must be notified of such hearings in this state. Among the statutory requirements contained in I.C. 5-3-1 is the publication of legal advertisement of each such hearing at least 10 calendar days in advance (the date of the hearing counts as day #10) in one newspaper of general circulation in the area where the project is to be implemented. Other provisions of I.C. 5-3-1 may also apply.

To be considered a legal public hearing, each hearing must have the required 10 days notice, must have been advertised through a legal advertisement, and said legal advertisement must contain all required information. All public hearings must be accessible to handicapped persons and non-English speaking persons, in addition to other requirements (see Sample Public Notice for First Hearing in the Samples Section of this application packet).

**Other methods of soliciting public participation**, such as letters to affected residents, fliers, public posting of notices, electronic and print media coverage, etc., **are also strongly recommended**. These other methods should take into consideration the needs and circumstances of low- to moderate-income persons.

The original publisher's affidavit(s) documenting publication dates for at least the required first public hearing must be attached to the application. Minutes from that public hearing, including a sign-in sheet, also must be attached to the application. *Note: if a third party, such as a grant administrator, takes the minutes of the meeting, the applicant*

*must include a document stating that the third party is acting as its representative. Minutes must be signed and date by the party that recorded them.* It is recommended that an audio tape of the public hearings be maintained until the grant is closed out. The IOCRA may request transcripts of the public hearings.

### **APPLICATION PROCESS & DEADLINES**

**A total of three (3) copies of the application**, at least one that bears the original signature of the chief elected official of the lead applicant, must be submitted to the Community Affairs Division of the IOCRA. Facsimile transmissions will not be accepted. **Applications are due by 5 p.m. in the office of the Community Affairs Division of the IOCRA on that last business day of each month.**

The following process must be followed:

**1. Letter of Intent to Submit Planning Application:**

A letter of intent to submit a planning grant application must be submitted prior to the start of the required procurement process used to select a consultant. A sample letter is included in the Samples section of this application packet. This letter will notify the Community Affairs Division and the appropriate Community Development Specialist will contact the community to set up a site visit to help develop the application and to advise on the planning process.

Letters of Intent will be kept on file for six (6) months. If an application is not received within six (6) months of the date on the letter of intent, a new one will need to be submitted to IOCRA.

**2. Procurement:**

The applicant must use Qualifications Based Selection (QBS) or Request for Proposal (RFP) process as laid out in the Procurement Overview in Appendix Two of this document. This process should begin after the applicant has met with IOCRA pertaining to their desired project, to allow inclusion in the scope of work any additional items identified at the site visit.

**3. Planning Grant Application:**

Planning grant applications will be reviewed during ongoing monthly funding cycles. The application deadline is the last business day of each month. Verbal notice of approval or denial of the grant will be given on or around the last working day of the following month. Denial notices will include reasons for denial and suggested areas for improvement. Unless notified otherwise, denied applicants may reapply when satisfactory changes to the proposed project are made.

NOTE: In the event of an incomplete application, the applicant will be required to make any changes that are necessary before an award is made. All of the additional information needed to complete the application must be submitted by the 20<sup>th</sup> of the month for consideration in that month's funding cycle. If the project is not awarded within 120 days from the last business day of the month of original submission, the community may be required to submit a new letter of intent and begin the process again.

**Letters of Intent/Applications should be submitted to:**

**Indiana Office of Community and Rural Affairs  
Community Affairs Division  
Attn: Community Affairs Director  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204**



4. **Grant Agreement Execution:**

After verbal notice of the grant award has been given, the grantee will receive a letter signed by the Lieutenant Governor of the State of Indiana officially granting the award (usually within two weeks). Following that, the community will receive one (1) copy of the grant agreement, which needs to be signed by the chief elected official and returned to the state. Upon the state's receipt of these documents, the signatures of various state officials will be obtained. (This process can take up to eight weeks.) **Once all parties have signed the documents, the grant agreement is executed.** No contract(s) can be signed with consultants until a notice of Removal of Environmental Conditions and a Notice of Release of Funds and Authorization to Incur Costs have been issued by Grant Services.

The community will receive a copy of the Lieutenant Governor's Award Letter. Prior to the award letter will be a memo noting important deadlines and milestones for the grant. In general, these milestones are as follows:

Grant Award Date: the last day of the month

Lieutenant Governor's Award Letter: arrives within 2-3 weeks of the award date

Grant Agreement: two copies arrive within 2-3 weeks of the Award Letter

Grant Agreement Execution: takes 6-12 weeks, depending upon return from grantee

Contract Signed with Consultant: any day after the date of the last signature on the grant agreement

Final Plan Due at IOCRA: one year from Award Date

Expiration Date of Grant: three months after the plan is due

Term Date of Grant: one year from expiration date

5. **Review of Draft Planning Study:**

Upon completion of the draft planning study, two copies must be forwarded to the Director, in the Community Affairs Division of IOCRA, for approval. The document will be reviewed to be sure all necessary components were included (please see Guidelines and Expectations for the Final Product). A minimum of thirty (30) days should be allowed for this review process. Please note, however, that the plan is due to IOCRA three months prior to the deadline of the grant, in order to allow time for any revisions that may be necessary, as well as administrative close-out of the grant. If the community intends to apply for a Community Focus Fund (CFF) grant to implement the planned project, be aware that the draft planning study must be submitted to IOCRA for review at least 120 days prior to the CFF Application deadline, in order to allow for the same review, revision and processing time. In addition to this review, the lead applicant **must** approve the plan by resolution. A sample resolution is provided in this packet; please see Sample Local Resolution Approving Plan.

6. **Planning Project Completion:**

In addition to the submittal of the draft document for approval, a **second public hearing must be held to solicit public comment on the draft document.** This hearing must follow all the same guidelines discussed above in the Pubic Hearings and Citizen Participation section of this application packet. A sample notice is provided in this packet; please see Sample Public Notice for the Second Hearing. A copy of the second public hearing notice, the publisher(s) affidavit, sign-in sheet, minutes, and the resolution approving the plan at the local level shall be forwarded to the Community Planning Specialist, Indiana Office of Community and Rural Affairs, Community Development Division. Receipt of these documents and approval of the document must occur prior to the submission of the request for final draw down of funds, or the draw request will be denied. *Note: if a third party, such as a grant administrator, takes the minutes of the meeting, the applicant must include a document stating that the third party is acting as its representative.*

NOTE: It is expected that all planning projects funded under this program will be completed within one year.

## GUIDELINES & EXPECTATIONS FOR FINAL PRODUCT

The IOCRA has certain expectations for the document that is produced with grant funds, primarily that it assists the community in making an informed decision about their options and enables them to take the next step in the project. In order to fully provide the community with the information they need, the document must contain the following:

For all projects:

- The preparer of the plan should assume the audience is neither technically trained nor familiar with the history of the project. Should implementation not occur immediately, future community leaders (utility superintendents, town councils, and other interested parties) should be able to read this document and understand the situation and what had been considered to date. This product should provide historical documentation for the community's files;
- Funding information sufficient to aid the community in making decisions, including preliminary rate impact on the users and funding scenarios assuming different grant amounts or funding sources;
- All options adequately described, pros and cons discussed, and costs provided for each alternative before the recommended alternative is presented;
- An Executive Summary at the beginning of the report summarizing the description of the issues leading to the study, the discussion of the alternatives, the recommended actions, and cost estimates.

For infrastructure projects:

- All information, in the correct, for submittal of the Preliminary Engineering Report (PER) to either USDA or IDEM for their funding programs;
- Regional options are given full consideration for new systems;
- Alternative technologies are given full consideration and explanation;
- Documentation that community members attended a meeting of the Environmental Infrastructure Working Group (EIWG), during the planning process.
- When filling out rate information for infrastructure projects, please provide a realistic picture of what the rates actually will be with the various options provided within the plan.

For Comprehensive Plans:

- **All comprehensive plans must include chapters on the following issues:** Transportation (including non-motorists), Housing, Public/Environmental Infrastructure, Recreation, Economic Development (including the Central Business District), Central Business District, Land Use, and Quality of Life.
- All sections must include a discussion of the following: existing conditions, factors contributing to those conditions, current and future trends, short-term and long-term goals for the community, and implementation steps for each goal. The Land Use and Downtown sections, and others as the community and consultant deem appropriate, should include discussion of development standards.
- Demographic information should be presented early in the document.
- Public participation is absolutely essential to a successful process and outcome. The IOCRA expects that more than the minimum of two required public hearings is necessary to maximize the effectiveness of the resulting plan. A separate chapter of the document shall be dedicated to summarizing what process was followed and shall contain the meeting dates, sign in sheets, minutes or notes, and other details necessary for historical documentation.

In addition to the above information, planning grants funded by the Indiana Office of Community and Rural Affairs (IOCRA), Community Development Division shall adhere to the following guidelines:

Water Facility Plans: RUS Bulletin 1780-2

Sewer System Studies: RUS Bulletin 1780-2

Storm Drainage Plans:	RUS Bulletin 1780-5
Conservancy District Plans:	DNR Guidelines, I.C. 13-3-3-1 to 13-3-3-102
State Revolving Loan Projects:	IDEM Preliminary Engineering Report Guidelines
Downtown Redevelopment Plans:	IOCRA Downtown Planning Guidelines
Historic Preservation Projects:	The Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings

## **HOW TO COMPLETE THE FORMS**

### **Project Narrative**

This is the section of the application where the community tells its story. It is organized to encourage brief but complete answers to the questions concerning project development and history. Please be succinct and use numerical and quantified information whenever possible. **Documentation that supports the narrative may be provided in the appendices; please be sure to reference the location of each piece of documentation, and do not include attachments that are not discussed and referenced in the narrative,** unless Federal or state policy requires those attachments.

### **Beneficiaries Form**

The Beneficiaries Form is included to provide information on the demographic make-up of the people who will benefit from the project. This information is used by the Indiana Office of Community and Rural Affairs for reporting purposes.

This information is available from published U.S. Census reports available at many libraries or on the web at [www.stats.indiana.edu](http://www.stats.indiana.edu). In those instances where the target population does not correspond to the population of a county, city, or town, much of the requested information will have to be extrapolated from these U.S. Census reports. This is done by applying the percentages for county populations to the target population to derive numbers under each category. The number and percentage of low- and moderate-income persons **MUST** be taken either from HUD low- and moderate-income level data or from income survey results.

The Beneficiaries Form reflects the categories and format that HUD now expects to be reported. A special web page is available at [www.stats.indiana.edu](http://www.stats.indiana.edu) that can assist grant administrators in filling out this page. Please contact Grant Support for further information.

Please make certain to provide information about persons, not families. Only in instances where different project activities have different beneficiaries (example: a project consisting of a water line extension and a new water tower for the entire system) does information need to be reported under more than one "activity description." In such instances, the numbers reported under each column should correspond to the groups benefiting from the respective activities.

**In the event a community conducts an income survey, the number represented on the Beneficiaries Form **MUST** correspond to the results of the survey**

### **Citizen Participation Report**

The Citizen Participation Report requests a summary of the methods used to solicit public participation in the development of the proposed project and the decision to submit the application. As discussed in the Public Hearings & Citizen Participation section of this application packet, at least one properly advertised public hearing is required prior to application. Other methods of soliciting public participation, such as letters to affected residents, fliers, public posting of notices, electronic and print media coverage, etc. are also recommended. These other methods should take into consideration the needs and circumstances of low- to moderate-income persons.

Applicants maximizing public involvement will obtain higher scores on their applications. Describe such methods on Items #3 of the Citizens Participation Report. Any comments or complaints received, the actions taken and the responses made to such comments or complaints must be recorded in Item #4.

### **Displacement Plan and Displacement Assessment**

All applicants are required to complete the Displacement Assessment form and a Displacement Plan **even if no displacement will occur** as a result of the proposed project. Where no displacement is anticipated, simply checking the “N/A – No displacement will occur” line at the top of the form completes the displacement assessment form. The sample local displacement plan included may be used as a guide, and addresses the minimum requirements established.

### **Assurances and Certifications**

Immediately preceding the space for the signature of the chief elected official is a list of assurances and certifications. By affixing his or her signature to the application, the chief elected official is committing the applicant to comply with these assurances if grant assistance is approved.

The assurances and certifications must be signed and dated by the chief elected official of the lead applicant. For cities, the chief elected official is the mayor; for towns, the president of the town council (not the clerk-treasurer); for counties, the president of the county commissioners. At a minimum, the chief elected official and/or the corporate counsel should read the assurances and understand the provisions to which the applicant is agreeing. Questions concerning the provisions of any of the assurances and certifications may be directed to the Community Affairs Division.

### **Civil Rights Certification**

In addition to the assurances and certifications section, the civil rights certification has been included to certify that the local unit of government shall follow all necessary Federal civil rights requirements.

### **Federal Disclosure Requirements of Applications**

24 CFR Part 4

Section 102 of the HUD Reform Act of 1989

Applicants who have received or expect to receive \$200,000 or more in Community Development Block Grant funds in a federal fiscal year (October 1 to September 30) will be required to disclose certain information periodically.

All applications for CDBG assistance must include the following information:

- \* Assistance from other government sources in connection with the project;
- \* The financial interest of persons in the project;
- \* The sources of funds to be made available for the project; and
- \* The uses of all project funds.

Application received from units of local government will be made available for public inspection for a period of 5 years, beginning not less than 30 days after award of assistance.

### **Certificate of Accessibility**

Aside from equal employment opportunities and participation in CDBG funded projects, it is the responsibility of the Grantee to ensure that all newly constructed, leased, or financed buildings and facilities, as well as buildings assigned for public use, are designed, constructed, and altered so as to be accessible to and usable by persons with physical disabilities. To accomplish this, the Grantee must complete the following tasks:

- \* Coordinate activities with the design architect or engineer;
- \* Complete and submit as part of the application a Certification of Accessibility form.

## APPLICATION COMPLETION CHECKLIST

Please ensure that all the following information is included with the application.

**Please place the information in the application in the following order so that the IOCRA Staff can review the information efficiently. Use tabs or some other mechanism to separate appendices and number pages for easy referencing.**

☐ **Application:** one (1) original and two (2) copies

☐ **Cover Sheet**

- ☐ Is the Very First Page of the Application
- ☐ Match is at least 10% of the Total Project Cost
- ☐ All blanks completed

☐ **Application Narrative**, all questions answered

- ☐ Project Description Page
- ☐ Project Need Page
- ☐ Financial Impact Page
- ☐ Infrastructure Information Page
- ☐ Local Effort Page

☐ **Project Budget**

- ☐ Numbers add up correctly
- ☐ All budgets in agreement
- ☐ Corresponds to cover page and narrative
- ☐ Reasonable cost estimates for each line item

☐ **The following forms**, completed and attached

☐ National Objective Form

☐ Appropriate national objective indicated

☐ Answered all questions related to the selected national objective

☐ Slum-Blight Projects page included, as appropriate

☐ Beneficiaries Form

☐ Do the numbers add up?

☐ If applicable, do numbers correspond to survey results?

☐ The CFF request divided by the total number of beneficiaries does not exceed \$5,000 (\$10,000 for housing and day care projects)

☐ Citizens Participation

☐ Original publisher's affidavit for public meeting

☐ Was ad at least 10 days prior?

☐ Attach minutes of public hearing

☐ Attach list of attendees for public hearing

☐ Documentation of third party authorization

### APPENDIX ONE: Project Description Documentation

☐ Scope of Work

☐ Map of Service Area

☐ Sub-recipient not-for-profit status documentation, including Federal designation from the IRS, Indiana Dept. of Revenue certification, and certificate of good standing from the Secretary of State

### APPENDIX TWO: Project Need Documentation

☐ Color Copies of all pictures provided in all copies of application

### APPENDIX THREE: Financial Impact Documentation

☐ Ending fund balances for lead applicant (**Do not include all budget pages**)

☐ County advertised tax sheet

☐ Annual operating budget of sub-recipient, if applicable

### APPENDIX FOUR: Local Effort Documentation

**APPENDIX FIVE: National Objective Information**

- ☐ Maps
  - ☐ Boundaries of jurisdiction shown
  - ☐ Project area shown
  - ☐ Service area corresponds to survey area
  - ☐ Floodplain shown
  - ☐ USGS map (preferred)
- ☐ Income Survey Information (if applicable)
  - ☐ Description of survey methodology
  - ☐ Copy of sample survey form
  - ☐ Copies of written survey material (instructions, cover letter, etc.)
  - ☐ Map of survey area
  - ☐ Survey results analysis form
  - ☐ Certification letter
- ☐ Slum and Blight Declaratory Resolution (if applicable)

**APPENDIX SIX: Readiness Information**

- ☐ Environmental Exemption Letter
- ☐ Local match commitment resolution indicating source and amount of match
- ☐ Correspondence from bank, not-for-profit or other funding source (If applicable- Must be with original signature on letterhead)

**APPENDIX SEVEN: Legal Information**

- ☐ Displacement Assessment
- ☐ Displacement Plan (See Sample)
- ☐ Assurances and Certifications
  - ☐ Original signature of Chief Elected Official
- ☐ Disclosure Report
- ☐ Certification of Accessibility
- ☐ Civil Rights Certification
  - ☐ Original signature of Chief Elected Official
- ☐ Cooperation Agreements (if applicable)
- ☐ Multi-jurisdictional (if applicable)
  - ☐ Assurances and Certifications for each jurisdiction
  - ☐ Citizens' participation for each jurisdiction
  - ☐ Public hearings held for each jurisdiction
  - ☐ Displacement Plans and Assessments for each jurisdiction
  - ☐ Legal opinions for each jurisdiction affirming interlocal cooperation
  - ☐ Resolution for each jurisdiction

**APPENDIX EIGHT: Procurement Documentation (only required in the original document)**

- ☐ Copy of the detailed scope of work
- ☐ Original legal ad announcing Request for Proposals/Qualifications and publisher's affidavit
- ☐ Copies of certified mail receipts
- ☐ List of firms solicited
- ☐ List of at least two MBE firms solicited (**please note which firms are MBE**)
- ☐ List of firms responding to solicitation
- ☐ List of firms on the short list
- ☐ List of scoring/selection committee members and titles
- ☐ Copies of all SIGNED score sheets (one per committee member per firm considered)
- ☐ Summary of scores (Group Interview Evaluation Form)
- ☐ Copies of any correspondence to firms, including copies of letters sent to firms not selected
- ☐ Copy of proposed contract with selected firm, including Third Party Contract Provisions

## II: PLANNING GRANT APPLICATION

(COVER SHEET)

**A. CHIEF ELECTED OFFICIAL (NAME & TITLE):**

**LEAD (LEGAL) APPLICANT:**

**MAILING ADDRESS:**

**CITY:**      **COUNTY:**      **CDBG County Code:**

**ZIP:**      **PHONE:**      **FAX:**

**EMAIL:**

**CHIEF FINANCIAL OFFICER (NAME & TITLE):**

**PHONE:**      **EMAIL:**

**IF NOT CHIEF ELECTED OFFICIAL, WHO IS THE PRIMARY COMMUNITY CONTACT FOR THE PROJECT? (NAME & TITLE):**

**PHONE:**      **EMAIL:**

**FEDERAL I.D./TAX NUMBER:**

**B. GRANT ADMINISTRATOR:**

**ORGANIZATION:**

**ADDRESS:**

**CITY:**

**ZIP:**      **PHONE:**      **FAX:**

**EMAIL:**

**METHOD OF PROCUREMENT (check one):** RFP: ☐. Local Funds: ☐.

**DATE OF MOST RECENT CERTIFICATION FROM IOCRA**

**PROJECT TITLE:**

**PROJECT ABSTRACT:**

**C. LEAD APPLICATION CENSUS POPULATION: 1990:**      **2000:**

**LEAD APPLICANT CURRENT ASSESSED VALUATION: \$**

**BASIS FOR VALUATION: NET ASSESSED VALUATION**      **TRUE TAX VALUE**

**D. PROJECT FUNDING SOURCES:**      **AMOUNT**

**PLANNING GRANT AMOUNT REQUESTED:**      \$

**MATCH AMOUNT (At least 10% of TOTAL PROJECT COST):**      \$

**TOTAL PROJECT COST:**      \$

**LIST SOURCE(S) OF MATCH:**

**G. LIST PROFESSIONAL/FIRM TO COMPLETE PLAN:**

**METHOD OF PROCUREMENT (check one):** QBS ☐, Local Funds ☐.

**H. FAIR HOUSING ORDINANCE (check one):**      On-file with IOCRA ☐, Attached ☐.

**DRUG FREE WORK-PLACE POLICY (check one):**      On-file with IOCRA ☐, Attached ☐.

# **APPLICANT INFORMATION**

## **CONTINUED**

**LIST ARCHITECT/ENGINEER:**

**METHOD OF PROCUREMENT (check one):** QBS ☐ RFP ☐ Local Funds ☐

**FAIR HOUSING ORDINANCE (check one):** On-file with IOCRA ☐  
Attached (Appendix A-2) ☐ None ☐

**DRUG FREE WORK-PLACE POLICY (check one):** On-file with IOCRA ☐ Attached (Appendix A-3) ☐ None ☐

**In what Indiana Senate District does this project fall under?**  
**State Senator representing this district:**

**In what Indiana House of Representatives District does this project fall under?**  
**State Representative representing this district:**

**Is this project site within a certified “Clean City” by IDEM?**



### **Project Description**

Describe below what exactly is proposed, i.e. the components or summarized scope of the project. List or mention all major project activities, including only as much detail as necessary to give someone who is not familiar with the project a general understanding of what is planned. Attach in Appendix One the scope of work and a map of the project area.

Identify the guidelines that will be used to prepare the final document (see the *Guidelines and Expectations for the Final Product* section of the Application Instructions for minimum requirements).

### **Timeline**

Provide below the major milestones involved in this project and the timing of each to allow for completion of all planning activities within one year (estimate the date of the second public hearing to receive comment on the draft planning study).

### **For Comprehensive Planning**

Has the community completed a Comprehensive Plan in the past?

Yes ☐ No ☐

If yes, please answer the following questions:

In what year was the plan completed?

Has the plan been update since its completion?

Yes ☐ No ☐

Were CDBG funds used to pay for any portion of the existing plan?

Yes ☐ No ☐

Has the plan been implemented?

Yes ☐ No ☐

## **PLANNING GRANT PROJECT NARRATIVE, continued**

### **Project Need**

Discuss below why the community needs this project. Specifically, address each of the following (you may attach additional sheets if necessary):

- Describe particular community problems that have prompted an interest in this project. Be as specific as possible and provide dates and other details.
- Explain why this planning project is the NUMBER ONE priority for the community. Explain how this priority was determined.
- Describe other issues the community is facing.
- List the current plans/documents used by the community (e.g. Community Development Plan, Economic Development Plan, Comprehensive Plan, or Capital Improvement Plan) and provide the dates of the most recent updates. Explain how this project fits into the objectives of the plan(s). If there are no formal plans currently used by the community, explain how the community proposes to identify and address future needs of the residents.
- Assuming this project was completed and implemented, describe the next anticipated priority of the community.

## PLANNING GRANT APPLICATION NARRATIVE, continued

### **Financial Impact**

Answer the following questions completely and thoroughly and provide additional information as necessary to explain why local resources are insufficient to fund or carry out the proposed planning activities:

Assessed Valuation (AV) \$

Net Assessed Valuation ☐ True Tax Value ☐

Total current population (2000 Census)

AV per capita (AV divided by total pop.) \$

Total community indebtedness \$

Annual Operating budget of Community: \$

Total property tax rate

Attach and reference the county advertised tax sheet

Annual operating budget for the applicant \$

List other taxes (EDIT, CEDIT, CAGIT, COIT, etc.) or sources of income for the applicant

In the space provided, please address the following:

- Explain ANY balances in operating budgets and capital reserve funds (attach year end balances).
- Itemize components of any local debt.
- If there is a sub-recipient, explain their financial condition and why they cannot afford the project without grant assistance. Attach the organization's annual budget and other relevant financial information.
- Describe other issues, unrelated to this project, that have demanded the community's resources over the past 3-5 years, as well as any known projects scheduled for the next year. Please quantify any investment of time or finances.

**PLANNING GRANT APPLICATION NARRATIVE, continued**  
**(Complete this form for ALL projects)**

**Infrastructure**

Is your community under an enforcement action by another state agency? Yes ☐ No ☐

(Attach any reference/documentation/correspondence, i.e. early warning sewer ban, IDEM Agreed Order, etc.)

If yes, please describe:

Provide the total number of users on the system:

	Water Utility	Sewer Utility	Storm water Utility
Residential Users			
Commercial/Industrial Users			
Total Users			

Provide the following current rate information:

Current water rate for 4,000 gallons	
Current sewer rate for 4,000 gallons	
Current Storm water rate	
Total combined rate for 4,000 gallons	

Are rate increases subject to approval of the Indiana Utility Rate Commission (IURC)? Yes ☐ No ☐

Provide the following rate history information:

	Year current ordinance was passed	Year previous ordinance was passed	Change in rates (in dollars)
Water Ordinance			
Sewer Ordinance			
Storm water Ordinance			

Attach in Appendix Three and reference the most recent water and sewer rate ordinances (for utility projects only).

Provide the following information on the existing systems:

	Age	Capacity	Avg. Daily Flow/Usage	Max. Daily Flow/Usage	Date and type of most recent major capital improvement
Sewer					
Water					
Storm water					

## **PLANNING GRANT APPLICATION NARRATIVE, continued**

### **Local Effort**

This is the opportunity to explain all the community has been able to accomplish, both in regard to this project and in other areas. In the space provided, please address the following:

- Describe past and current efforts to address the problem locally. Please quantify any investment of time or finances, which the community has already made to correct the problem.
- Describe other activities undertaken by the applicant an/or sub recipient in the past 3-5 years to improve the livability of the community. (Note: do not repeat information already shared in the Financial Impact narrative.)
- Explain the expected useful life of this document, and the frequency of updates needed. Describe any efforts being taken to finance future plans. Indicate how attention will be given to provide for the maintenance of the improvements that may be proposed.
- Describe in detail the public participation process proposed for the planning project. Indicate how the community will make extra efforts to ensure public involvement throughout the planning process, in addition to the two required public hearings.
- List all previously conducted studies related to this issue or system, including cost, year, and a summary of the scope of work.
- List any previous grant awards, including but not limited to IOCRA funds.

## PROJECT BUDGET

Summarize all project costs by funding source.

ACTIVITY	CDBG	LOCAL	TOTAL
Planning			
Environmental Review*			
Administration**			
TOTAL			

\*If using CDBG funds for Environmental Review, maximum amount permitted for this use is \$3000.

\*\*If using CDBG funds for grant administration, then maximum amount permitted is 8% of the total CDBG requested or \$4,000, whichever is less. Please see additional information in the "Consultants & Grant Administration" section of the Application Instructions.

List sources of local match and leveraged funds:

(Documentation of financial commitments from all sources is required)

Source	Amount
TOTAL LOCAL LEVERAGE	

**In addition to completing the above forms, attach an itemized budget as the next page of this application.**

### **NATIONAL OBJECTIVE IDENTIFICATION**

CHECK ONLY ONE OF THE NATIONAL OBJECTIVES BELOW. ALL PROJECTS MUST PROVIDE ALL INFORMATION REQUESTED ON THIS PAGE.

#### **Benefit to Low- and Moderate-Income Persons**

☐ Area Benefit

☐ Limited Clientele

#### **Prevention or Elimination of Slums or Blight**

☐ Area Basis

☐ Spot Basis

List percentage of population of low- and moderate-income persons served by this project: %

Source: 2000 Census Data\* or Income Survey (attach and reference income survey)

Date of first income survey certification letter

Date of second income survey certification letter, if applicable

List the census tract number(s) that are to be included in the project area:

List the census tract block groups(s) that are to be included in the project area:

\*Please refer to page I-4 of this application packet for further information on acceptable data.

Below, explain your selection of the above H.U.D. National Objective. REFER TO PAGES I-3 & I-4 OF THE INSTRUCTIONS FOR QUESTIONS TO BE ADDRESSED REGARDING THE NATIONAL OBJECTIVE SELECTED. For Low-moderate income/Area Benefit, there are five questions and two attachments required. For Low-moderate income/Limited Clientele, there are three questions required. For Slum/Blight/Area Wide there are five questions and two attachments required. For Slum/Blight/Spot Basis there are two questions and one attachment required.

## **NATIONAL OBJECTIVE IDENTIFICATION: SLUM/BLIGHT PROJECTS**

Please check the statements that are appropriate for your project. Attach documentation in the National Objective Appendix (Appendix 5) supporting your selections.

- ☐ Slum/Blight Area or Spot designated by resolution of the local unit of government (50 points)
- ☐ The applicant is an Indiana Main Street Community, and the project relates to downtown revitalization (5 points)
- ☐ The project is located in a designated redevelopment area under IC 36-7-14 (5 points)
- ☐ The building or district is listed on the Indiana or National Register of Historic Places (10 points)
- ☐ The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 points)
- ☐ The building or district is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (15 points)
- ☐ The project site is a Brownfield (5 points)

\* The State of Indiana defines a Brownfield as a parcel of real estate that is abandoned or inactive; or may not be operated at its appropriate use; and on which expansion, redevelopment, or reuse is complicated because of the presence or potential presence of a hazardous substance, a contaminant, petroleum, or a petroleum product that poses a risk to human health and the environment.



## BENEFICIARIES

**Items 11-20 MUST add up to the number of people as well as low/moderate and non-low/moderate columns!**

Project Title:

Total Beneficiaries (all activities):

		Total	Of the total population in the service area, how many are Hispanic?	Activity Description
	<b>Number of People</b>			
S I N G L E  R A C E	11 Number of Whites			
	Percent			
	12 Number of Blacks/African Americans			
	Percent			
	13 Number of Asian			
	Percent			
	14 Number of American Indian / Alaskan Native			
	Percent			
	15 Number of Native Hawaiian / Other Pacific Islander			
	Percent			
M U L T I  R A C E	16 American Indian / Alaskan Native & White			
	Percent			
	17 Asian & White			
	Percent			
	18 Black / African American & White			
	Percent			
	19 American Indian / Alaskan Native & Black / African American			
	Percent			
	20 Balance / Other			
	Percent			
	Number of Handicapped			
	Percent			
	Number of Elderly People			
	Percent			
	Number of Female-headed Households			
	Percent			
	<b>Number of Low/Moderate Income People</b>			
	Percent			
	<b>Number of Non-Low/Moderate Income People</b>			
	Percent			

## CITIZEN PARTICIPATION REPORT

1. Complete the following.

Planning information to the public	Date
Notice of first public hearing	
Date of first public hearing	
Anticipated Notice of second public hearing	
Anticipated Date of second public hearing	

2. Describe the methods used to solicit participation of low- and moderate-income persons:
3. Denote any adverse comments/complaints received and describe resolution:

After this page, include the following

- \*Publisher's affidavit of all public notices.
- \*Minutes of the public hearings including a sign-in sheet of attendees.
- \* Copy of response(s) to comments and/or complaints.

I certify that submission of this **application** has been duly authorized by the governing body of the applicant; that the applicant has the legal capacity to carry out the proposed project; that the proposed project is designed to meet the identified housing and community developments needs of the community; including those of low- and moderate-income persons; and that the proposed project will minimize the need for displacement of businesses and families and provide reasonable benefits for those displaced. I also certify that the proposed project will be completed within fifteen (15) months of contract award, if approved.

---

Signature, Chief Elected Official

Date

Type Name and Title:

## DISPLACEMENT ASSESSMENT

☐ N/A – No displacement will occur

INSTRUCTIONS: Use this page to assess displacement plans and strategy.

---

1. Describe the need for displacement:
2. Substantiate the need for displacement:
3. Explain how displacement will be minimized:
4. Explain how the negative effects of displacement will be minimized:

**Attach Local Displacement Plan even if displacement will not occur – see Sample in Sample Section of this Application Packet.**

**INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIR  
COMMUNITY DEVELOPMENT BLOCK GRANT SMALL CITIES PROGRAM  
ASSURANCES AND CERTIFICATIONS**

The applicant hereby assures and certifies that:

- (a) It possesses legal authority to apply for the grant, and to execute the proposed program.
- (b) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
- (c) It has complied with all requirements of Executive Order 12372, and that either:
  - 1) Any comments or recommendations made by or through clearinghouses are attached and have been considered prior to submission of the application; or
  - 2) The required procedures have been followed and no comments or recommendations have been received prior to submission of the application.
- (d) It has facilitated or will facilitate citizen participation by:
  - 1) Publishing a statement of proposed activities so that affected citizens have an opportunity to submit comments on the proposed activities and community development performance of the applicant;
  - 2) Providing adequate notices for two or more public hearings, specifically to persons of low- and moderate-income;
  - 3) Holding two or more public hearings on the proposed application at times and locations convenient to potential beneficiaries, convenient to the handicapped, and meeting needs of non-English speaking residents, if appropriate, to obtain citizens' views before adoption of resolution or similar action by the local governing body authorizing the filing of the application;
  - 4) Providing citizens information concerning the amount of funds available for proposed community development activities and the range of those activities;
  - 5) Providing citizens with information concerning the amount of funds that will benefit persons of low- and moderate-income;
  - 6) Furnishing citizens with the plans made to minimize the displacement of persons and to assist persons actually displaced as a result of grant activities;
  - 7) Providing technical assistance to groups representing persons of low- and moderate-income requesting such assistance in developing proposals;
  - 8) Providing citizens with reasonable notice of substantial changes proposed in the use of grant funds and providing opportunity for public comment;
  - 9) Providing citizens with reasonable access to records regarding the past use of CDBG funds received; and
  - 10) Any modifications or amendments of the program that are made from time to time will be made in accordance with the same procedures required in (d) for the preparation and submission of a statement of proposed activities.
- (e) It has identified housing and community development needs, including those of low- and moderate-income persons and the activities to be undertaken to meet such needs.
- (f) The Community Development program has been developed so as to give maximum feasible priority to activities that will benefit low- and moderate-income families, or aid in the prevention or elimination of slums or blight.

[The requirement for this certification will not preclude the Indiana Office of Community and Rural Affairs from approving an application where the applicant certifies, and the Indiana Office of Community and Rural Affairs determines, that all or part of the Community Development Program activities are designed to meet other community development needs having a particular urgency as specifically explained in the application.]
- (g) It will minimize displacement of persons and provide for reasonable benefits to any person involuntarily and permanently displaced as a result of activities associated with program funds.
- (h) It will not attempt to recover any capital costs of public improvements assisted in whole or part with CDBG funds by assessing any amount against properties owned and occupied by persons of low- and moderate-income including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless (I) CDBG

funds received are used to pay the proportion of such fee or assessment that relates to the capital costs of public improvements that are financed from revenue sources other than CDBG funds; or (II) for purposes of assisting any amount against properties owned and occupied by persons of low- and moderate-income who are not persons of very low income, the grantee certified to the Secretary or such State, as the case may be, that it lacks sufficient funds received from CDBG Program to comply with the requirements of clause.

- (i) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative approved in accordance with OMB Circular No. A-102, Revised, which includes a provision that program or project completion be no longer than eighteen (18) months from project startup, inclusive of the bid process for professional and engineering services as well as program close-out. In addition, said provision includes an assurance of the availability of project funds, both local and private, upon award of the project grant.
- (j) It will comply with:
  - 1) Section 110 of the Housing and Community Development Act of 1974, as amended, by the Housing and Urban-Rural Recovery Act of 1983 and the Housing and Community Development Act of 1987, 24 CFR 570.603, and State regulations regarding the administration and enforcement of labor standards;
  - 2) The provisions of the Davis-Bacon Act (46 U.S.C. S 276a-5) with respect to prevailing wage rates (except for projects for rehabilitation of residential properties of fewer than eight units);
  - 3) Contract Work Hours and Safety Standards Act of 1962, 40 U.S.C. 327-332, requiring that mechanics and laborers (including watchmen and guards) employed on federally assisted contracts be paid wages of not less than one and one-half times their basic wage rates for all hours worked in excess of forty in a work-week, and
  - 4) Federal Fair Labor Standards Act, 29 U.S.C. S 102 et seq., requiring that covered employees be paid at least the minimum prescribed wage, and also that they be paid one and one-half times their basic wage rate for all hours worked in excess of the prescribed work-week; and
  - 5) Anti-kickback (Copeland) Act of 1934, 18 U.S.C. S 874 and 40 U.S.C. S 276c, which outlaws and prescribes penalties for “kickbacks” of wages in federally financed or assisted construction activities.
- (k) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative requirements.
- (l) It will comply with:
  - 1) Title VI of the Civil Rights Act of 1964 (Public Law 88-352), and the regulations issued pursuant thereto (24 CFR Part 1), which provides that no person in the United State shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under any program or activity for which the applicant received Federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits;
  - 2) The Fair Housing Act (previously known as Title VIII of the Civil Rights Act of 1968) (Public Law 90-284), as amended, administering all programs and activities relating to housing and community development in a manner to affirmatively further fair housing in the sale or rental of housing, the financing of housing, and the provision of brokerage services;
  - 3) Section 109 of Title I of the Housing and Community Development Act of 1987, as amended, and the regulations issued pursuant thereto (24 CFR 570.602), which provides that no person in the United States shall, on the grounds of race, color, national origin, religion, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to otherwise qualified handicapped individuals as provided in Section 504 of the Rehabilitation Act of 1973 shall also apply to any such program activity;
  - 4) Executive Order 11063, as amended by Executive Order 12259 on equal opportunity in housing and non-discrimination in the sale or rental of housing built with Federal assistance, and requiring that programs and activities relating to housing and urban development be administered in a manner affirmatively to further the goals of Title VIII of the Civil Rights Act of 1968; and

- 5) Executive Order 11246 as amended by Executive Order 11375 and 12086, and the regulations issued pursuant hereto (24 CFR Chapter 60), the Indiana Code (I.C. 22-9-1-10), which provides that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal or federally assisted construction contracts. Contractors and subcontracts on Federal and federally assisted construction contracts shall take affirmative action to insure fair treatment in employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training and apprenticeship.
- (m) It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended, requiring that to the greatest extent feasible opportunities for training and employment be given to lower income residents of the project area and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing within the unit of local government.
  - (n) It will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and Federal implementing regulation at 49 CFR Part 24, and the requirements of section 570.496a and it is following a residential anti-displacement and relocation assistance plan under section 104(d) of Title I of the Housing & Community Development Act of 1974, as amended.
  - (o) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
  - (p) It will comply with the provisions of the Hatch Act, which limits the political activity of employees.
  - (q) It will give State, HUD and the Comptroller General through any authorized representatives, access to an the right to examine all records, books, papers, or documents related to the grant.
  - (r) Its chief executive officer or other officer of applicant approved by the Indiana Office of Community and Rural Affairs:
    - 1) Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 (NEPA)(42 U.S.C. S 4321 et seq.) and other provisions of Federal law, as specified at 24 CFR 58.1 (a)(3) and (a)(4), which further the purposes of NEPA insofar as the provisions of such Federal law apply to the Indiana Small Cities Development Block Grant Program; and
    - 2) Is authorized and consents on behalf of the applicant and himself/herself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his/her responsibilities as such an official.
  - (s) It will comply with:
    - 1) The National Environmental Policy Act of 1969 (42 U.S.C. S 4321 et seq.) and 24 CFR Part 58, and in connection with its performance of environmental assessments under the National Environmental Policy Act of 1969, comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 470), Executive Order 11593, and the Preservation of Archaeological and Historical Data Act of 1966 (U.S.C. 469a-1, et seq.) by:
      - a) Consulting with the State Historic Preservation Officer to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the proposed activity; and
      - b) Complying with all requirements established by the State and to avoid or mitigate adverse effects upon such properties.
    - 2) Executive Order 11988, Floodplain Management;
    - 3) Executive Order 11990, Protection of Wetlands;
    - 4) Endangered Species Act of 1973, as amended, (16 U.S.C. Section 1531 et seq.);
    - 5) The Fish and Wildlife Coordination Act of 1958, as amended, (16 U.S.C. Section 661 et seq.);
    - 6) The Wild and Scenic Rivers Act of 1968, as amended, (16 U.S.C. Section 1271);
    - 7) The Safe Drinking Water Act of 1974, as amended, (42 U.S.C. Section 300f et seq.);
    - 8) Section 401(f) of the Lead-Based Paint Poisoning Prevention Act, as amended, (42 U.S.C. Section 4831 (b));
    - 9) The Clean Air Act of 1970, as amended, (42 U.S.C. Section 7401 et seq.);
    - 10) The Federal Water Pollution Control Act of 1972, as amended, (33 U.S.C. Section 1251 et seq.);
    - 11) The Clean Water Act of 1977 (Public Law 95-217); and

- 12) The Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 (42 U.S.C. Section 6901 et. seq.);
  - 13) Section 202(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4106) as it relates to the mandatory purchase of flood insurance for special flood hazard areas.
- (t) It will comply with all parts of Title I of the Housing and Community Development Act of 1974, as amended, which have not been cited previously as well as with other applicable laws.
  - (u) It will comply with the provisions of the Indiana Code (I.C.) 35-44-1-3 and 4.
  - (v) It will abide by the provision that no member, officer, or employee of the grantee or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise any functions or responsibilities with respect to the program during the tenure or for one year thereafter shall have any direct or indirect interest in any contractor, subcontractor, or the proceeds thereof, financed in whole or in part with Title I grants.
  - (w) It agrees to repay to the State of Indiana any funds under this program which, as the result of a HUD of State of Indiana authorized audit, are found to have been spent in an unauthorized manner or for unauthorized activities.
  - (x) It certifies that none of the funds being applied for will be used to substitute for any local, state, federal or private dollars that have been committed to the project as proposed in this application.
  - (y) It certifies that it has adopted and will enforce a policy of prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and enforcing applicable State and local laws against physically barring entrance in nonviolent civil rights demonstrations; and enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction (Section 104(I) of Title I of the Housing & Community Development Act of 1974, as amended).
  - (z) It certifies that pursuant to 31 U.S.C. Section 1352, and any regulations promulgated thereunder:
    - 1) no federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative, agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
    - 2) if any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the proposed Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
    - 3) The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

---

**THE LEGAL APPLICANT/RECIPIENT CERTIFIES THAT:**

To the best of my knowledge and belief, the recipient will comply with the above assurances if assistance is approved. CERTIFYING REPRESENTATIVE: (To be signed by Chief Elected Official or Designee)

Signature, Chief Elected Official		Date
Name:	Title:	Date:

## CDBG DISCLOSURE REPORT

### PART I – APPLICANT/GRANTEE INFORMATION

1. Applicant/grantee name, address and phone number

2. Indicate whether this is:

Initial  
Report

Update  
Report

☐☐

Grant Number (Updates only):

Federal employer identification number:

3. Project Assisted/to be Assisted.

a. Fiscal year:

b. Entitlement grant(s) ☐

Competitive grant ☐

c. Amount requested/received: .....

d. Program income to be used with c. above: .....

e. Total of c. and d.: .....

### PART II – THRESHOLD DETERMINATIONS

1. Is the amount listed at 3.e. (above) more than \$200,000?      Yes      No  
☐      ☐

2. Have you received or applied for other HUD assistance (through programs listed in Appendix B of the instructions) which when added to 3.e. (above) amounts to more than \$200,000?  
Yes      No  
☐      ☐

If the answer to either 1 or 2 of this part is “yes”, then you must complete the remainder of this report.

If the answer to both 1 and 2 of this part is “no”, then you are not required to complete the remainder of this report, but must sign the following certification.

I hereby certify that this information is true.

(Chief Elected Official)

(Date)



---

PART III – OTHER GOVERNMENT ASSISTANCE PROVIDED/APPLIED FOR

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1. Provide the requested information for any other Federal, State and/or local governmental assistance, on hand or applied for, that will be used in conjunction with the CDBG grant. (See Appendix B of the instructions)

---

Name and Address of Agency Providing or to provide Assistance	Program	Type of Assistance	Amount requested or Provided
--	---------	-----------------------	---------------------------------

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PART IV – INTERESTED PARTIES

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Alphabetical List of All Persons With Reportable Financial Interest in the Project	SSN or Employer ID No.	Type of Participation in Project	Financial Interest In Project S & %
--	------------------------------	-------------------------------------	--

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PART V – EXPECTED SOURCES AND USES OF FUNDS

---

This Part requires that you identify the sources and uses of all assistance that have been or may be used in the project.

---

Source

Use

---

## **PART VI – CERTIFICATION**

I hereby certify that the information provided in this disclosure is true and correct and I am aware that any false information or lack of information knowingly made or omitted may subject me to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, I am aware that if I knowingly and materially violate any required disclosure of information, including intentional non-disclosure, I am subject to a civil money penalty not to exceed \$10,000 for each violation.

---

(Chief Elected Official)

Date

Name

Title

---

## Certification of Accessibility

---

**I hereby certify that all applicable handicap standards of accessibility for the following project:**

Project Name:	
Grantee:	
Grant Number:	

**Project Classification** (Check applicable box.)

Project is Exempt:	<input type="checkbox"/>
Project has been designed in consistency with the current interpretation of the federal, state and local laws, regulations and codes:	<input type="checkbox"/>

**Type of CDBG Project** (Check applicable box.)

Sewer Facilities	<input type="checkbox"/>	Water Facilities	<input type="checkbox"/>	Drainage Facilities	<input type="checkbox"/>
Planning Activity	<input type="checkbox"/>	Public Facilities	<input type="checkbox"/>	Other	<input type="checkbox"/>

**In addition to the above, indicate efforts made by the Grantee/Sub-recipient to adhere to Section 504 regulations governing the accessibility of federally assisted buildings and facilities.** (Check all that apply.)

Programs and program information are made accessible to individuals with handicaps.	<input type="checkbox"/>
Has obtained special communication systems if needed (TTY, Braille).	<input type="checkbox"/>
Policies and procedures are nondiscriminatory.	<input type="checkbox"/>
Made reasonable accommodations for persons with known handicaps.	<input type="checkbox"/>

**To be completed by Grantee/Sub-recipient with more than 15 employees:** (Check all that apply.)

Designated Section 504 Coordinator.	<input type="checkbox"/>
Notified participants of non-discrimination policies.	<input type="checkbox"/>
Conducted self-evaluation of compliance.	<input type="checkbox"/>
Other, describe:	

### Signatures

Signature of Chief Elected Official:	
Date:	
Signature of Design Engineer:	
Date:	

## CIVIL RIGHTS CERTIFICATION

The Applicant, any contractor, any subcontractor, or any other party performing any services or having any responsibilities hereunder shall fully and completely comply with the following:

- a) Section 109 of the Housing and Community Development Act of 1974 which requires that no person in the United States shall on the grounds of race, color, national origin or sex, be excluded from the participation in, be denied the benefits of, or be subjected to, discrimination under any program or activity funded in whole or in part with Community Development Block Grant (CDBG) funds.
- b) Shall not, under any program or activity pursuant to this Agreement, directly or through contractual or other arrangements, on the grounds of race, color, national origin, sex, age, handicap status or religion:
  - i. Deny any individual any facilities, services, financial aid or other benefits provided under the program or activity.
  - ii. Provide any facilities, services, financial aid or other benefits in a different form from those provided under the program or activity.
  - iii. Subject any person to segregated or separate treatment in, or in any matter of process related to receipt of any services or benefit under the program or activity.
  - iv. Restrict an individual in any way access to, or the enjoyment of, any advantages or privilege enjoyed by others in connection with facilities, services, financial aid or any other benefits under the program or activity.
  - v. Treat an individual different from others in determining whether the individual satisfies any admission, enrollment, eligibility, membership, or other requirement or condition which the individual must meet in order to be provided any facilities, services or any benefit provided under the program or activity.
  - vi. Deny an individual an opportunity to participate in a program or activity as an employee.
- c) Shall not use criteria or methods of administration which have the effect of subjecting individuals to discrimination on the basis of race, national origin, sex, age, handicap status or religion, or have effect of defeating or substantially impairing the accomplishment of the objectives of the Housing and Community Development Act of 1974, (as amended).
- d) In determining a site or location of housing or facilities shall not make selections of such site or location which have the effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination on the grounds of race, color, national origin, sex, age, handicap status, or religion.

The Applicant in all contracts or agreements subject to Executive Order 11246 shall be subject to HUD Equal Employment Opportunity regulations at 24 CFI Part 130 applicable to HUD assisted construction contracts.

The Applicant shall cause or require to be inserted in full in any non-exempt contract and subcontract for construction work, or modification thereof, as defined in said regulations, which is paid for in whole or in part with assistance provided under this Agreement, the following equal opportunity clause:

The Applicant will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin or handicap. Such action shall include, but not limit to the following: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising: layoff or termination: rates of pay or other forms of compensation: and selection or training: including apprenticeship. The applicant agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Grantor setting for the provisions of this nondiscrimination clause.

The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the applicant, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

The Applicant Contractor will comply with all provisions of Executive Order 11246 of September 1965, and of the rules, regulations and relevant orders of the Secretary of Labor.

The Applicant/Contractor will comply with all provisions of Title VIII, Civil Rights Act of 1968, which prohibits discrimination in the sale of rental dwellings, discrimination in the financing of housing, blockbusting, and discriminatory advertising and makes it unlawful to deny any person access to, or membership or participation in, any multiple listing services or real estate brokers' organization for discriminatory reasons.

The Applicant/Contractor will comply with Section 3 Housing and Urban Development Act of 1968, Section 504: Rehabilitation Act of 1974, Executive Order 11063 and all other Federal Rules and Regulations.

The Applicant will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules and regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the Department and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

In the event of the Applicants noncompliance with the nondiscrimination clauses of an executed agreement or with any Such rules, regulations, or orders, this agreement may be canceled, terminated or suspended in whole or in part and the applicant May be declared ineligible for further government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 14, 1965 or by rule, regulation, or order of the Secretary of Labor.

The Applicant shall require that the language referred to in this certification be included in the award documents for all sub-awards at all tiers (including sub-contract, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

The Legal Applicant/Recipient Certifies That:

To the best of my knowledge and belief, the recipient will comply with the above certification if assistance is approved.

Certifying Representative: (to be signed by Chief Elected Official or Designee)

\_\_\_\_\_  
Signature, chief Elected Official

\_\_\_\_\_  
Date

Name (typed or printed)

Title

Date

### III. SAMPLES

#### LETTER OF INTENT TO SUBMIT PLANNING APPLICATION

Date: \_\_\_\_\_

Indiana Office of Community and Rural Affairs  
Community Affairs Division  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204

Re: Notice of Intent to Submit Planning Application

Dear \_\_\_\_\_:

The **(city, town, county)** seeks to submit a planning grant application within the next six months. We are requesting a site visit prior to beginning the procurement process for this project. The **(city, town, county)** wishes to obtain a planning grant from the Indiana Office of Community and Rural Affairs for **(describe the proposed project)**.

The estimated cost of the planning project is \$ **(estimated cost)**, which includes the following work items: **(summarize the scope of work)**.

As the chief elected official of **(city, town, county)**, I am signing this letter in anticipation of receiving your assistance in developing our planning grant application. Please contact **(contact person's name and title)** at **(phone number)** regarding this project.

Sincerely,

**(Chief Elected Official)**



## **SAMPLE**

### **LEGAL ADVERTISEMENT FOR REQUEST FOR QUALIFICATIONS/REQUEST FOR PROPOSALS**

#### **REQUEST FOR PROPOSAL/STATEMENT OF QUALIFICATIONS TOWN OF AMERICANA, INDIANA**

In order to assure compliance with the Indiana Office of Community and Rural Affairs (IOCRA) and related requirements regarding competitive negotiation of planning services, the Town of Americana is seeking Statements of Qualifications for the provision of planning technical assistance relating to a utility master plan.

#### **Description of Services Needed**

##### **WATER**

- I. **Project Planning Area Characteristics**
  - Location and Background Information
  - General Characteristics of the Planning Area
  - Environmental Resources
  - Hydrology and Groundwater Resources
  - Land Use, Population Trends and Projections
- II. **Existing Waterworks Facilities / Specific Problems**
  1. Source of Supply
  2. Water Treatment Area (If Applicable)
  3. Water Distribution System
  4. Water Storage
  5. Hydraulic Analysis
  6. Compliance with Safe Drinking Water Act (SDWA)
  7. Water Pumpage
  8. Distribution of Users
  9. Water Loss
  10. Projected Future Water Demands
  11. Fire Protection Considerations
  12. Current Utility Financial Status
- III. **Need for Project**
  1. Description
  2. Design Criteria
  3. Layout Map
  4. Environmental Impacts
  5. Land Requirements
  6. Construction Problems
  7. Cost Estimates
    - a. Construction
    - b. Non-Construction
    - c. Annual Operation and Maintenance
    - d. Present Work
  8. Advantages / Disadvantages
    - Short and Long Term

IV. Proposed Recommend Alternatives (Short and Long Term)

1. Project Preliminary Design
2. Cost Estimate
3. Annual Operating Budget

V. Funding Options

1. Indiana Office of Community and Rural Affairs
2. Rural Development

VI. Preliminary Rate Derivation

1. Residential Customers

VII. Conclusions and Recommendations

1. Project Implementation Schedule

WASTEWATER

I. Project Planning Area

1. General Characteristics
2. Location Maps
3. Environmental Resources
4. Growth Areas

II. Existing Facilities / Specific Problems

1. Location Map
2. History
3. Present Conditions
4. Adequacy of Current Facilities

III. Need for Project

1. Health and Safety
2. Regulatory Concerns
3. Growth and Future Needs During Planning Period

IV. Alternatives Considered

1. Description
2. Preliminary Design Criteria
3. Layout Map
4. Environmental Resources
5. Land Requirements
6. Construction Problems
7. Cost Estimates
  - a. Construction
  - b. Non-Construction
  - c. Annual Operations and Maintenance
  - d. Present Worth
8. Advantages / disadvantages
9. Short and Long Term

## **Type of Contract**

The town of Americana will execute a cost reimbursement type of contract for these services that is contingent on the final commitment of planning grant funding. All services will be stated on the cost reimbursement basis (hourly rate and maximum hours fixed). The awarded contract will have a not to exceed  $\leq$  clause that will limit the allowable fees charged in connection with these services through close out.

## **Federal Requirements**

Prospective offerors should note the successful proposer must meet the following terms and conditions:

1. 24 CFR Part 85 .36
2. Title VI of the Civil Rights Act of 1964
3. Conflict of Interest (24 CFR Part 570).
4. Access to records.
5. Executive Order 11246 – Equal employment Opportunity
6. Executive Order 12138 – Women Business Enterprise Policy.
7. Architectural Barrier Act of 1968.
8. Age Discrimination Act of 1975.
9. Section 3 clause – Housing and Urban Development Act of 1968.
10. Section 504-Rehabilitation Act of 1973.
11. Retention and Custodial Requirements (24 CFR Part 85.42).
12. Executive Order 11063
13. Affirmative Action Program / Plan.
14. Davis Bacon and Related Acts.

The Indiana Office of Community and Rural Affairs has a 10% MBE/WBE goal for all projects funded with Community Development Block Grant Funds.

## **Rate of Proposals/Qualifications**

The proposal must include sufficient information regarding qualifications and determine that the engineer is qualified and experienced in water/sewer utility projects. Do not include a proposed fee with the proposal, as this is a qualification based selection process. The proposal should include the following:

1. A description of expertise, experience and resources directly relevant and available for the proposed project.
2. A list of similar projects previously completed.
3. A list of references.
4. Resumes of professional staff members that will work on this project.
5. Name of person to be in charge of project.
6. Description of scope of services as per Description of Services Needed and proposed prices as per Type of Contract.
7. A project time line.

The proposal shall also provide the following information: name, title, address and telephone number of individuals with authority to negotiate and bind the proposer contractually, and who may be contracted during the period of proposal evaluation.

### **Award of Contract**

Proposal Evaluation criteria shall include:

1. Specialized experience or technical expertise of the organization and its personnel in connection with the scope of services to be provided and complexity of the project. (\_\_\_ points )
2. Past record of performance on contracts, including quality of work, timelines and cost control. (\_\_\_ points)
3. Capacity of the organization to perform the work within time limitations, taking into consideration the current planned workload of the firm. (\_\_\_ points)
4. Familiarity of the organization with this type of project or problems applicable to the project. (\_\_\_ points)

\* For a total of \_\_\_ points possible.

If you are interested in providing the required services, please note that six (6) copies of the Statement of Qualification/Proposal of each prospective organization must be received by the Town of Americana, Clerk Treasure's Office, P.O. Box 177, Americana, Indiana 46777 no later than 12:00 p.m. (noon) local time on May 1, 2001. Each statement of Qualification/Proposal will be reviewed for completeness and clarity according to the above criteria. Interviews are expected to be held on May 16, 2001.

The Town may or may not negotiate the fee schedule with one or more offers. The Town reserves the right to reject any and / or all proposals. The town is an Equal Opportunity Employer. The contract is tentatively scheduled to be awarded by the Town on June 1, 2001. Offerors may desire additional information, a site visit or clarification regarding the Statement of Qualification / Proposal. If so please contact John Smith between 9:00 a.m. and 5:00 p.m. local time at (317) 555-1234.

## SAMPLE RESOLUTION AUTHORIZING APPLICATION SUBMISSION AND LOCAL MATCH COMMITMENT

RESOLUTION OF THE CITY/TOWN/COUNTY COUNCIL OF THE CITY /TOWN/COUNTY OF \_\_\_\_\_, INDIANA AUTHORIZING THE SUBMITTAL OF THE CDBG PLANNING GRANT APPLICATION TO THE INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS AND ADDRESSING RELATED MATTERS

WHEREAS, the Council of the City/Town/County of \_\_\_\_\_, Indiana recognizes the need to stimulate growth and to maintain a sound economy within its corporate limits: and

WHEREAS, THE Housing and Community Development Act of 1974, as amended, authorizes the Indiana office of Community and Rural Affairs to provide grants to local units of government to meet the housing and community development needs of low-and moderate-income persons; and

WHEREAS, the City/Town/County of \_\_\_\_\_, Indiana has conducted or will conduct public hearings prior to the submission of an application to the Indiana Office of Community and Rural Affairs, said public hearings to assess the housing, public facilities and economic needs of its low-and moderate-income residents:

NOW, THEREFORE BE IT RESOLVED by the Council of \_\_\_\_\_, Indiana that:

1. The Mayor/Town Council President/County Commission President is authorized to prepare and submit an application for grant funding to address (summary of proposed project) and to execute and administer a resultant grant including requisite general administration and project management, contracts and agreements pursuant to regulations of the Indiana Office of Community and Rural Affairs and the United States Department of Housing and Urban Development.

2. The City/Town/County of \_\_\_\_\_, Indiana hereby commits the requisite local funds in the amount of \_\_\_\_\_ (\$ \_\_\_\_\_) in the form of (source of local match), as matching funds for said program, such commitment to contingent upon receipt of CDBG funding from the Indiana Office of Community and Rural Affairs.

Adopted by the City/Town/County council of the City/town/County of \_\_\_\_\_, Indiana this \_\_\_\_\_ day of (month), (year), at (time).

SIGNATURE: \_\_\_\_\_  
Chief Elected Official, Title  
(Mayor, Board President)

ATTET: \_\_\_\_\_  
(Chief Financial Officer, Title)  
(Controller, Clerk-Treasurer, Auditor)

***\*\*Please note a separate letter must be attached by the Chief Financial Officer. See Readiness to Proceed Guidelines for further details regarding letter content.***

## SAMPLE

### PUBLIC NOTICE FOR FIRST PUBLIC HEARING

On or about (date), (Applicant) intends to apply to the Indiana Office of Community Rural Affairs for a grant from the State Community Development Block Grant (CDBG) Planning program. This program is funded by Title I of the federal Housing and Community Development Act of 1974, as amended. These funds are to be used for a community development planning project that will include the following activities: (summary of proposed project). The total amount of CDBG funds to be requested is \$(amount of request). The amount of CDBG funds proposed to be used for activities that will benefit low- and moderate-income persons is \$(amount of CDBG Planning funds requested x percentage of low- to moderate-income residents\*). The Applicant also proposes to expend an estimated \$(amount of local match) in non-CDBG funds on the project. These non-CDBG funds will be derived from the following sources: (source and amount).

(Applicant) will hold a public hearing on (date), at (time), in (place) to provide interested parties an opportunity to express their views on the proposed federally funded CDBG project. Persons with disabilities or non-English speaking persons who wish to attend the public hearing and need assistance should contact (name, address, phone #) not later than (date). Every effort will be made to make reasonable accommodations for these persons.

Information related to this project will be available for review prior to the public hearing as of (date) at the office the (Applicant) located at (address) between the hours of (office hours). Interested citizens are invited to provide comments regarding these issues either at the public hearing or by prior written statement. Written comments should be submitted to (name and address) no later than (date) in order to ensure placement of such comments in the official record of the public hearing proceedings. A plan to minimize displacement and provide assistance to those displaced has been prepared by (Applicant) and is also available to the public. This project will result in (no displacement of any persons or businesses – or – displacement of the following persons and businesses [name and address]). For additional information concerning the proposed project, please contact (person – telephone – office hours and days) or write to (person – address).

**\*This is required in the ad even for Slum/Blight projects.**

## SAMPLE

### PUBLIC NOTICE FOR SECOND PUBLIC HEARING

The (Applicant) will hold a public hearing on (date) beginning at (time) at the (location) to provide interested citizens an opportunity to express their views on the recently completed (name of study). The (name of study) was paid for using Federal Community Development Block Grant Funds from the Indiana Office of Community and Rural Affairs. Representatives from the (type of consulting firm) firm, (name of consulting firm) will present their findings and recommendations at the hearing. Every effort will be made to allow persons to voice their opinions at the public hearing. Persons with disabilities or non-English speaking persons who wish to attend the public hearing and need assistance should contact (contact person, title, mailing address) or call (phone number for contact person) not later than (deadline). Every effort will be made to make reasonable accommodations for these persons. For additional information concerning the public hearing or the (name of study) please contact: (contact person and title) at the address or phone number listed above.

## **SAMPLE**

### **LOCAL RESOLUTION APPROVING THE PLAN**

WHEREAS, the (city/town/county) had identified adequate reason to analyze (name of project or project abstract from cover page of application), and

WHEREAS, the (city/town/county) has hired (consultant name) to define and describe the issues, advise us of our options, and make recommendations to address this issue in the near future, and

WHEREAS, the (city/town/county) has received federal Community Development Block Grant dollars from the Indiana Office of Community and Rural Affairs to fund this study and has contributed (match amount) as local match for this project, and

WHEREAS, the (city/town/county) has reviewed the process and completed study thoroughly and is satisfied with the services performed, information contained therein, and methodology applied;

WHEREAS, the (city/town/county) has received (number of copies) copies of this document for our records and will keep them on file in the town offices for future reference, and

BE IT RESOLVED by the (city/town/county) that the final document is hereby approved, contingent upon comments and approval received from the Indiana Office of Community and Rural Affairs. The (city/town/county) will fully consider all comments and feedback received from the Indiana Office of Community and Rural Affairs and will direct its consultant to provide amended copies of this plan reflecting all said comments.

## **SAMPLE**

### **LOCAL DISPLACEMENT PLAN**

1. (Applicant) will consider for submission to the Indiana Office of Community and Rural Affairs, under its various Community Development Block Grant funded programs, only projects and activities that will result in the displacement of as few persons or businesses as necessary to meet State and local development goals and objectives.

2. (Applicant) will certify to the State, as part of its application process, that it is seeking funds for a project or activity that will minimize displacement.

3. (Applicant) will provide referral and reasonable moving assistance, both in terms of staff time and dollars, to all persons involuntarily and permanently displaced by any project or activity funded with Community Development Block Grant funds.

4. All persons and businesses directly displaced by (applicant) as the result of a project or activity funded with Community Development Block Grant funds will receive all assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, including provisions of the Uniform Relocation Act Amendments of 1987, Title IV of the Surface Transportation and Uniform Relocation Assistance Act of 1987.

5. (Applicant) will provide reasonable benefits and relocation assistance to all persons and businesses involuntarily and permanently displaced by the Community Development Block Grant activity funded by the State in accordance with appendices attached hereto, provided they do not receive benefits as part of such action under number 4 above.

**SAMPLE**  
**ENVIRONMENTAL REVIEW EXEMPTION LETTER**

**(Date)**

Environmental Officer  
Grant Services  
Office of Lt. Governor  
One North Capitol, Suite 600  
Indianapolis, IN 46204-2288

The City/Town/County of **(name of applicant)** has received a planning grant from the Indiana Office of Community and Rural Affairs. Grants for the sole purpose of planning are classified as exempt per 24 CFR Part 58.24.

We are requesting from the State of Indiana, upon receipt of a fully executed planning grant agreement, the release of our community's grant funds. We understand we are prohibited from incurring costs on this project prior to receiving a fully executed grant agreement without express written permission to do so from the IOCRA.

Sincerely,

**(Chief Elected Official)**



## **SAMPLE SLUM AND BLIGHT SPOT DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted structures within the corporate limits of (city/town), Indiana, and

WHEREAS, identifying such a structure is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the structure has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, (    ) percent of first floor commercial space, (    ) percent of second floor commercial space, and (    ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of the structure has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following property of (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: (insert specific address of spot location).

## **SAMPLE SLUM AND BLIGHT AREA DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted areas within the corporate limits of (city/town), Indiana, and specifically downtown (city/town), and

WHEREAS, identifying such areas is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the downtown area has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, (    ) percent of first floor commercial space, (    ) percent of second floor commercial space, and (    ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of downtown commercial buildings has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following areas of downtown (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: High Street from 1/2 block east of Meridian Street to and including Oak Street, and Oak and Union Streets 1/2 block north and south of High Street.

## **SAMPLE**

### **COOPERATION AGREEMENT**

The City/Town of \_\_\_\_\_, Indiana, seeks to support the efforts of the City/Town of \_\_\_\_\_ to obtain a Community Focus Fund grant from the Indiana Office of Community and Rural Affairs for (proposed project) located in both the aforementioned Cities/Towns. As the chief executive officers of our respective local governments, we are signing this agreement to provide our full cooperation to accomplish these improvements. The City/Town of \_\_\_\_\_ is hereby designated as the lead agency for this application and program and will be the applicant for funds. The City/Town of \_\_\_\_\_ will be liable for all the program's administrative functions should the grant be awarded.

\_\_\_\_\_  
Mayor

\_\_\_\_\_  
Town President

City of \_\_\_\_\_

\_\_\_\_\_  
Attest/ Date  
SEAL:

\_\_\_\_\_  
Attest/ Date  
SEAL:

Note: This general form (or a suitable variation) is to be used by local government applicants whose proposed project area involves more than one jurisdiction. It is a required part of any "in behalf of" or "joint" application with appropriate modifications as may be required to fit local situations.

# **APPENDIX ONE: EVALUATION CRITERIA**

## **GRANT EVALUATION CRITERIA - 1000 POINTS TOTAL**

### **Economic and Demographic Characteristics- 450 points:**

#### **National Objective Score (200 points):**

Depending on the National Objective to be met by the project, one of the following two mechanisms will be used to calculate the score for this category.

**1. National Objective = Benefit to Low- and Moderate-Income Persons:** 200 points maximum awarded according to the percentage of low- and moderate-income individuals to be served by the project. The total points given are computed as follows:

$$\text{National Objective Score} = \% \text{ Low/Mod Beneficiaries} \times 2.5$$

The point total is capped at 200 points or 80% low/moderate beneficiaries, i.e., a project with 80% or greater low/moderate beneficiaries will receive 200 points. Below 80% benefit to low/moderate-income persons, the formula calculation will apply.

**2. National Objective = Prevention or Elimination of Slums or Blight:** 200 points maximum awarded based on the characteristics listed below. The total points given are computed as follows:

$$\text{National Objective Score} = (\text{Total of the points received in each category below}) \times 2.5$$

- \_\_\_ Slum/Blight Area or Spot designated by resolution of the local unit of government (50 pts.)
- \_\_\_ Community is an Indiana Main Street Senior Partner or Partner, and the project relates to downtown revitalization (5 pts.)
- \_\_\_ The project site is a Brownfield\* (5 pts.)
- \_\_\_ The project is located in a designated redevelopment area under IC 36-7-14 (5 pts.)
- \_\_\_ The building or district is listed on the Indiana or National Register of Historic Places (10 pts.)
- \_\_\_ The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 pts.)
- \_\_\_ The building is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (15 pts.)

\* The State of Indiana defines a brownfield as an industrial or commercial property that is abandoned, inactive, or underutilized, on which expansion or redevelopment is complicated due to actual or perceived environmental contamination.

**Community Distress Factors (250 Points)** - the community distress factors used to measure the economic conditions of the applicant community are listed below. Each is described with an explanation and an example of how the points are determined. Each factor can receive a maximum of 50 points with the total distress point calculation having a maximum of 250 points. The formula calculation for each measure is constructed as a percentage calculation along a scale range. The resulting percentage is then translated into a point total on a 50 point scale for each measure.

- 1. Unemployment Rate (50 points maximum)** - Unemployment rate for the county of the lead applicant. The average rate for the previous 12 months is used.
  - a. If the unemployment rate is 10% or higher, 50 points are awarded.
  - b. If the unemployment rate is 2% or below, 0 points are awarded.
  - c. Between those values, the points are calculated by taking the unemployment rate, subtracting 2%, dividing by 8% and multiplying by 50, where 2% is the bottom point of the scale and 8% is the range of the scale.

$$\text{Unemployment Rate Points} = [(\text{Unemployment rate} - 2\%) / 8\%] \times 50$$

For example, if the unemployment rate is 5%, take unemployment rate of 5%, subtract 2%, divide by 8%, and multiply by 50. The score would be 18.75 point of a possible 50;  $[(5-2)/8 \times 50 = 18.75]$

**2. Net Assessed Value/capita (50 points maximum)** - Net assessed value per capita for lead applicant.

To determine the net assessed value per capita, take the appropriate net assessed value and divide by the total 1996 population (projected from census data) of the lead applicant;

$$\text{NAV/capita} = \text{NAV/Total Population}$$

- a. If the net assessed value/capita for the lead applicant is above \$10,000, 0 points are awarded.
- b. If the net assessed value/capita for the lead applicant is \$3,000 or under, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the NAV/capita from \$10,000, dividing by \$7000 and multiplying by 50, where \$10,000 is the top of the scale and \$7000 is the range of the scale.

$$\text{NAV/capita points} = [(\$10,000 - \text{NAV/capita})/\$7000] \times 50$$

For example, if the Net Assessed Value/capita is \$4,000, take \$10,000, subtract the NAV/capita of \$4,000, divide by \$7,000, and multiply by 50. The score would be 42.86 points of a possible 50 points;  $[(10,000 - 4,000)/7000] \times 50 = 42.86$ .

**3. Median Housing Value (50 points maximum)** - Median Housing Value for lead applicant.

$$\text{Median Housing Value Points} = [(\$75,000 - \text{median housing value})/\$50,000] \times 50$$

- a. If the median housing value for the lead applicant is \$75,000 or higher, no points are awarded.
- b. If the median housing value for the lead applicant is \$25,000 or lower, 50 points are applicant.

For example, if the median housing value is \$35,000, take \$75,000, subtract the median housing value of \$35,000, divide by \$50,000, and multiply by 50. The score would be 40 points out of a total possible of 50;  $[(75,000 - 35,000)/50,000 \times 50 = 40]$ .

**4. Median Household Income (50 points maximum)**

$$\text{Median Household Income Points} = [(\$50,000 - \text{median household income})/\$25,000] \times 50$$

- a. If the median household income is \$50,000 or higher, no points are awarded.
- b. If the median household income is \$25,000 or lower, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the median household income from \$50,000, dividing by \$25,000 and multiplying by 50, where \$50,000 is the top of the scale and \$25,000 is the range of the scale.

For example, if the Median Household Income is \$32,500, take \$50,000, subtract the median household income of \$32,500, divide by \$25,000, and multiply by 50. The score would be 35 points out of a possible 50;  $[(50,000 - 32,500)/25,000] \times 50 = 35$ .

**5. Percentage Population Change (50 points maximum)** - Percentage population change (1990-2000).

The percentage change is computed by subtracting the 1990 population from the 2000 population projection and dividing by the 1990 population. Convert this decimal to a percentage by multiplying by 100.

$$\text{Percentage Population Change} = [(2000 \text{ population} - 1990 \text{ population})/1990 \text{ population}] \times 100$$

- a. If the population increased by 15% or greater, 0 points are awarded.
- b. If the population decreased by 10% or greater, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the Percent Population Change from 15%, dividing by 25%, and multiplying by 50, where 15% is the top of the scale and 25% is the range of the scale.

**Percentage Population Change points = [(15% - Percentage Population Change)/25%] X 50**

For example, if the population increased by 3%, take 15%, subtract 3%, divide by 25%, and multiply by 50. The score would be 24 points out of a total possible of 50;  $(15-3)/25 \times 50 = 24$ .

**Local Match Contribution- 100 points:**

Up to 100 points possible based on the percentage of local funds devoted to the project. This total is determined as follows:

$$\text{Total Match Points} = \% \text{ Eligible Local Match} \times 2$$

Eligible local match can be local cash or debt. Government grants, including Build Indiana Funds, are not considered eligible match.

**Project Design Factors- 450 points:**

450 points maximum awarded according to the evaluation in three areas:

**Project Need** - why does the community need this project?

**Financial Impact** - why is grant assistance necessary to complete this project?

**Local Effort** - what has/is the community doing to move this project forward?

The project can receive a total of 150 points in each category. The points in these categories are awarded by the IOCRA review team when evaluating the projects. Applicants should work with the Indiana Office of Community and Rural Affairs' Community Development Division to identify ways to increase their project's scores in these areas.

# **APPENDIX TWO: PROCUREMENT**

## PROCUREMENT OVERVIEW

The procurement process required for the Community Development Block Grant (CDBG) programs is called Qualifications Based Selection (QBS) for architectural and engineering services, and Request for Proposal (RFP) for all other services. The QBS, or Request for Qualifications (RFQ), process does not include price as an evaluation criterion. The IOCRA has certain requirements for this process that must be met before the procurement process is approved and a grant is awarded. The following paragraphs outline the steps that a community must take in order to be in compliance with the requirements of the IOCRA.

1. The community must develop a preliminary scope of work for the project. This scope of work should include all major components of the proposed project in order to provide potential consultants with an understanding of what the community needs.

2. The community must solicit consulting firms qualified to do the work, using a Request For Statement of Qualifications (RFQ) or Request for Proposals (RFP). The community is responsible for two methods of such solicitation: (1) soliciting via direct mail and (2) placing a legal ad in a newspaper of general circulation. When deciding which firms to solicit, the community should consider businesses in the logical geographical area relative to their vicinity. Communities should also contact other communities for feedback and recommendations.

The direct mail solicitation must be sent to at least five (5) firms, two (2) of which must be certified Minority-owned Businesses (MBE) with the State of Indiana's Directory of Minority and Women-owned Businesses. (You can access this directory on the Internet at [www.ai.org/idoa/minority/index.html](http://www.ai.org/idoa/minority/index.html). While the IOCRA does encourage communities to solicit Women-owned Businesses, the Women-owned Businesses are not a substitute for the requirement of soliciting two Minority-owned Businesses.) The required five (5) direct-mail solicitations need to be sent via certified mail, and the certified mail receipts must be kept. Communities may solicit more than five (5) firms via direct mail, if local leaders so choose; if this occurs, certified mail receipts are required for all firms solicited.

The legal ad must contain the following elements: (a) the general scope of work, or outline of project components, (b) contact information for obtaining a detailed scope of work (if one is available), (c) the deadline for submitting the statement of qualifications/proposal, (d) the address to which the statement of qualifications/proposal should be sent, (e) the evaluation criteria that will be used for selection of the consultant, and (f) the scoring weight attached to each of the aforementioned evaluation criteria. Formal advertising for professional services is required by Federal regulations under 24 CFR 85.36(d)(3). An example of a legal advertisement for a Request For Statement of Qualifications/Request For Proposals is included in the Sample section of this Application Packet. Advertisements must be published no less than 30 calendar days before the proposal due date.

3. The lead applicant for the grant needs to appoint a selection committee that consists of objective local parties familiar with the proposed project. IOCRA recommends no more than three to five (3-5) persons\*. This committee is responsible for reviewing the information received as a result of the RFQ/RFP process and determining whether to short-list firms or take all into further consideration. The selection committee may choose to interview those firms it wishes to consider. Each individual committee member must complete a score sheet for each firm considered. This scoring can be done as part of the interview process, or simply at a meeting to evaluate submitted materials. The scoring is done based on the criteria and weights assigned and advertised in the legal ad. The firm compiling the most points as a result of the scoring process is considered the selected firm.

\*Grant administrators shall NOT serve on this committee, as they most likely have on-going working relationships with multiple firms.

4. If using QBS (for architectural or engineering services) negotiations can now begin with the selected firm to determine the price of the services. If a price is agreed upon, the selection process is complete. A proposed contract should be written between the community and the selected firm, BUT SHOULD NOT BE SIGNED. This contract must include the Professional Service Third Party Provisions attachment. (This attachment is included in the CDBG Program Grantee Implementation Manual and can also be obtained via our website at:



[www.in.gov/ocra](http://www.in.gov/ocra).) If a price cannot be agreed upon, the community may begin negotiations with the firm in second place based on the scoring process.

5. Communities must submit a packet of procurement information for approval by IOCRA along with the grant application. The packet must contain all of the following: a copy of the detailed scope of work, the original legal advertisement and publisher's affidavit, copies of the certified mail receipts to the firms solicited (at least five in number), a list of all firms solicited with MBE firms clearly indicated, a list of the firms that responded, a list of the firms on the short list (if applicable), a list of the community members on the selection panel and their titles, a copy of each panel member's signed score sheet for each firm considered, a summary of scores, copies of correspondence to firms, and a copy of the proposed contract between the community and the selected firm, including the Professional Service Third Party Provisions attachment (available in the CDBG Program Grantee Implementation Manual and via our website at [www.in.gov/ocra/](http://www.in.gov/ocra/)).

6. Private firms or non-governmental entities that perform project development and administration activities for CDBG-assisted projects (project development, environmental review, grant application preparation, procurement assistance, grant administration) will NOT be allowed to also perform architectural, engineering, planning or other related services/activities for grantee.

## Proposal/Statement of Qualifications Evaluation

### FOR SHORT-LISTING / INTERVIEWS

The following model is provided for your use as appropriate for your specific situation. The weights and rating values assigned should be the same as those used for the interviews, which you will do later. Complete a sheet for each firm submitting a proposal/qualifications.

The highest number represents the most value for each column. **Rating column:** 1-5 points. In this column you rate the firm based on each qualification. **Weight column:** 1-10 depending on value to the project. Use the weight column to indicate the level of importance (in your judgment), in each area, to the particular project. Multiply the rating by the weight for each category and enter the total. Add all totals to establish the grand total.

**Firm:**

**Contact Person:**

**Project Description:**

**Address:**

**Phone:**


### INDIVIDUAL EVALUATION

	RATING	X	WEIGHT	=	TOTAL
1. History of firm and resource capabilities to perform required services.		X		=	
2. Evaluation of assigned personnel.		X		=	
3. Related experience (as appropriate). - design services - planning - feasibility studies - other		X		=	
4. Budget, cost controls, experience, and results.		X		=	
5. Familiarity with local experience and results.		X		=	
6. Ability to relate to project.		X		=	
7. Analysis of narrative statement. (One page)		X		=	
8. Reference check (evaluation transfer from reference check form).		X		=	

<b>Name of Reviewer:</b>	<b>Grand Total:</b>
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## THE REFERENCE CHECK

**Firm Being Checked:**

**Project Referenced:**

**Person Contacted:**

**Phone:**


Based on the reference provided in the firm's proposal, or through networking with other owners who have worked with the firm.

### SAMPLE QUESTIONS TO BE ASKED: (Owner may wish to add to this list of questions.)

	<b>5 Excellent</b>	<b>4 Good</b>	<b>3 Average</b>	<b>2 Fair</b>	<b>1 Poor</b>
1. What project did the firm perform for you?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. When was it completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. What was the scope of services? (Design work, construction phase services, studies, other).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Was the project completed on schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Was the budget, cost control and financial administration within the planned controls and limitations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Did the firm and (you) the owner work well as a team in relation to the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Did the firm personnel work well with the committee/board staff and on all of the specific requirements of the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. How would you rate the value you received to the cost of the services of the firm?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. What is your overall evaluation of the firms based on your experience?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Would you use this firm on a similar project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>GRAND TOTAL</b>					

## GROUP QUALIFICATIONS EVALUATION SUMMARY SHORTLISTING

The group evaluation form is provided for the chairperson of the evaluation group to evaluate the results of the process. Use it to develop a short-list of firms who submitted qualifications down to the number desired (firms to be interviewed).

<b>FIRMS</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Reviewer 1				
Reviewer 2				
Reviewer 3				
Reviewer 4				
Reviewer 5				
<b>GRAND TOTALS</b>				

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## Letter to Short Listed Firms

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### SAMPLE

**TO:** FIRMS SELECTED FOR INTERVIEWS

**FROM:**

**PROJECT:**

**RE:** INTERVIEW SCHEDULE AND REQUIREMENTS

The firms listed below have been selected to be interviewed for the professional services relative to the above referenced project.

Attached to this memo are the following:

- 1) An Interview Score Sheet, which will be used by the interviewers during the interview session.
- 2) Evaluation form for use by the evaluation group chairperson to compile the evaluation scores.

Each firm will be allowed 25 minutes to present their qualifications and 15 minutes to answer questions. The interviewers will schedule 10 minutes between interviews for informal discussion of information presented during the preceding interview. At the completion of the interviews, the committee will rank the firms interviewed in accordance with their determination of which firm is most qualified and compatible to do the work. The firm deemed to be most qualified will then be invited to negotiate the scope of work and activities and a contract to provide the necessary professional services. If contract terms cannot be reached, the firm deemed the next most qualified will be invited for contract negotiations.

Interviews will be held on \_\_\_\_\_, 20\_\_\_\_ in the \_\_\_\_\_ (all times listed are local time).

The order and time of interviews is:

**Firm A:**

**Time:**

**Firm B:**

**Time:**

**Firm C:**

**Time:**

Please contact \_\_\_\_\_ at \_\_\_\_\_ with any questions you may have.

Sincerely,

Chief Elected Official

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## Letter to Firms Not Short Listed

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### SAMPLE

**TO:** REJECTED FIRM

**FROM:** (CLIENT)

**PROJECT:**

**RE:** STATUS OF SELECTION PROCESS

**DATE:**

The Town of Americana would like to express their appreciation to you and your firm for submitting your Statement of Qualifications.

After careful consideration by the selection committee, a decision to interview (Insert number of firms to be interviewed) has been made.

The firms selected for further consideration are listed alphabetically:

- 1) (FIRM)
- 2) (FIRM)
- 3) (FIRM)

While your firm was not selected for an interview, we appreciate your interest in our project and the time spent in the preparation of your proposal.

Sincerely,

Chief Elected Official

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## Instructions for the Scoring/Selection Committee

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Highest number represents the most value for each column. **Rating column:** 1-5 points. In this column you rate the firm based on each category. Rates should vary from one reviewer to another. **Weight column:** 1-10 depending on the value to project. Use the weight column to indicate the level of importance (in your judgment), in each area, to the particular project. Weights should vary among the categories, but must be consistent among the reviewers.

At the completion of the interview, multiply the rating by the weight for each category and enter the total. Add all totals to establish the grand total. The chairperson will combine all of the totals for those participating in the interview session on the Group Interview Evaluation Form.

**Name of Reviewer:**

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**Name of Firm:**

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**General Notes:**

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## EVALUATION SCORE SHEET

**Name of Reviewer**      **Name of Firm**

Weights should be assigned a value between 1-10, with ten (10) being the highest consideration. **Weights** should vary among the categories, but must be consistent among the reviewers. **Rates** should vary from one reviewer to another, as this is a personal judgment.

Categories	Rating	X	Weight	=	Total
1. Understanding of Project Requirements: (Owner may evaluate analysis, preparation and level of interest of the firm).		X		=	
2. Design Approach / Methodology: (Owner may evaluate firm or individual creativity and problem solving abilities).		X		=	
3. Key Personnel and Roles: (Owner may evaluate personal qualifications and professional skills of key individuals).		X		=	
4. Pertinent Experience, Firm: (Owner may evaluate related projects presented as previous work of the firm).		X		=	
5. Pertinent Experience, Individual: (Owner may evaluate related projects presented as previous work of key personnel).		X		=	
6. Consultant / In-House Resources: (Owner may evaluate abilities of the firm and importance of consultant or in-house support services).		X		=	
7. Technical Project Management: (Owner may evaluate abilities of the firm related to technical functions such as project cost controls, construction observation, time schedule, etc.).		X		=	
8. Responsiveness to Concerns of the Owner: (Owner may evaluate abilities of the firm to form successful working relationships and communications with the owner).		X		=	
9. Method of Compensation: (Owner may evaluate method of determining compensation used by the firm. Compensation proposals are NOT required at this time).		X		=	
10. Sub- Consultant Selection: (Owners may evaluate method of hiring sub-contractors).		X		=	
11. Cost (not applicable for architectural & engineering services)		X		=	
12. Other Relevant Issues: (Owner may evaluate importance of other relevant issues by firm).		X		=	
	<b>GRAND TOTAL</b>			=	

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Signature of Reviewer



## GROUP INTERVIEW EVALUATION FORM

**NOTE:** Enter the grand total for each firm as recorded by each interviewer on the score sheet. After all entries are made and totaled, divide the combined group total for each firm by the number of interviewers to determine grand totals for each firm. This is to equalize scoring in the event all interviewers do not interview all firms

### COMBINED GROUP TOTALS

<b>Firm Name</b>			
	<b>FIRM A</b>	<b>FIRM B</b>	<b>FIRM C</b>
<b>Interviewer 1</b>			
<b>Interviewer 2</b>			
<b>Interviewer 3</b>			
<b>Interviewer 4</b>			
<b>Interviewer 5</b>			
<b>TOTALS</b>			